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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.	1669.0040001/SRL
First Inventor	Alastair V. Ferguson
Title	Methods for Effecting Neuroprotection
Express Mail Label No	

**APPLICATION ELEMENTS**  
*See MPEP chapter 600 concerning utility patent application contents*
**ADDRESS TO:**
 Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, DC 20231

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original, and a duplicate for fee processing)*

2.  Applicant claims small entity status.  
 See 37 CFR 1.27.

3.  Specification [Total Pages 37]  
*(preferred arrangement set forth below)*  
 - Descriptive title of the Invention  
 - Cross Reference to Related Applications  
 - Statement Regarding Fed sponsored R & D  
 - Reference to sequence listing, a table, or a computer program listing appendix  
 - Background of the Invention  
 - Brief Summary of the Invention  
 - Brief Description of the Drawings (*if filed*)  
 - Detailed Description  
 - Claim(s)  
 - Abstract of the Disclosure

4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 5]

5. Oath or Declaration [Total Pages       ]  
 a.  Newly executed (original or copy)  
 b.  Copy from a prior application (37 CFR 1.63(d))  
*(for continuation/divisional with Box 17 completed)*  
 i.  **DELETION OF INVENTOR(S)**  
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).

6.  Application Data Sheet. See 37 CFR 1.76.

7.  CD-ROM or CD-R in duplicate, large table or Computer Program  
*(Appendix)*

8. Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*

a.  Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i.  CD-ROM or CD-R (2 copies); or

ii.  paper

c.  Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))

10.  37 CFR 3.73(b) Statement  Power of Attorney  
*(when there is an assignee)*

11.  English Translation Document (*if applicable*)

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

13.  Preliminary Amendment

14.  Two return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*

15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*

16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17.  Other: Authorization under 37 C.F.R. § 1.136(a)(3) (in duplicate)  
 Other: The name of the assignee is:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-Part (CIP)  
 Prior application information: Examiner \_\_\_\_\_ of prior application No: \_\_\_\_\_ / \_\_\_\_\_  
 Group/Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

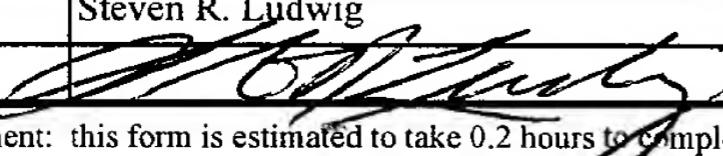
**18. CORRESPONDENCE ADDRESS**

Customer Number or Bar Code Label  Correspondence address below

Customer No. 26111

(Insert Customer No. or Attach bar code label here)

NAME	STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.		
	Attorneys at Law		
ADDRESS			
CITY	STATE	ZIP CODE	
COUNTRY	TELEPHONE	FAX	

NAME (Print/Type)	Steven R. Ludwig	Registration No. (Attorney/Agent)	36,203
SIGNATURE			
Date	March 27, 2001		

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.  
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JCS60 U.S. PTO

J10092 U.S. PTO  
03/27/01

# STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

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\*\*REGISTERED PATENT AGENT  
\*\*\*SENIOR COUNSEL

March 27, 2001

WRITER'S DIRECT NUMBER: (202) 371-2626

INTERNET ADDRESS: SLUDWIG@SKGF.COM

Commissioner for Patents  
Washington, D.C. 20231

*Box: Patent Application*

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)  
Appl. No. To be assigned ; Filed: Herewith  
For: **Methods for Effecting Neuroprotection**  
Inventors: Ferguson *et al.*  
Our Ref: 1669.0040001/SRL

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. USPTO Utility Patent Application Transmittal Form PTO/SB/05 (in duplicate);
2. Fee Transmittal Form (PTO/SB/17) (in duplicate);
3. U.S. Utility Patent Application entitled:

## **Methods for Effecting Neuroprotection**

and naming as inventors:

Alastair V. Ferguson, and  
Jaideep S. Bains

the application comprising:

- a. specification containing:

Commissioner for Patents  
March 27, 2001  
Page 2

- i. 32 pages of description prior to the claims;
- ii. 4 pages of claims (Claims 1-22);
- iii. a one (1) page abstract;
- b. 5 sheets of drawings: (Figures 1-5);
- c. an Application Data Sheet (37 C.F.R. § 1.76);

4. 37 C.F.R. § 1.136(a)(3) Authorization to Treat a Reply As Incorporating An Extension of Time (in duplicate);

5. Our check No. 30775 for \$746.00 to cover:  
\$710.00 filing fee for patent application;  
\$ 36.00 fee for excess claims; and

6. Two (2) return postcards.

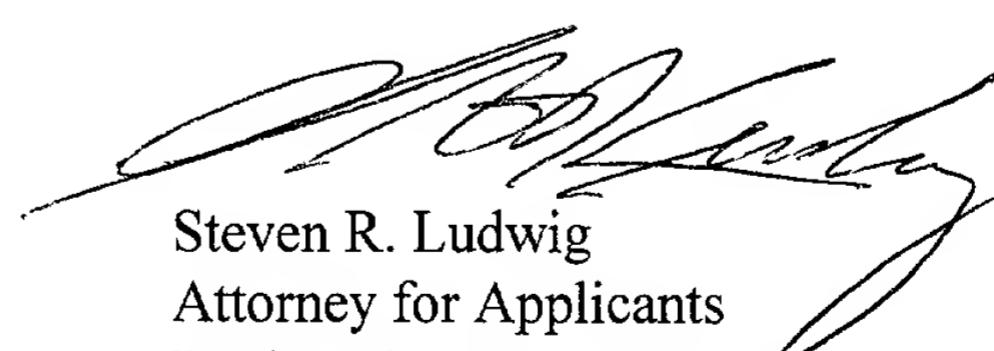
Correspondence should be sent to Customer Number 26111.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

This patent application is being submitted under 37 C.F.R. § 1.53(b) without Declaration and without filing fee.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Steven R. Ludwig  
Attorney for Applicants  
Registration No. 36,203

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT

(\$ 746.00)

## Complete if Known

Application Number	To be assigned
Filing Date	Herewith
First Named Inventor	Alastair V. Ferguson
Examiner Name	To be assigned
Group Art Unit	To be assigned
Attorney Docket No.	1619.0040001/SRL

## METHOD OF PAYMENT (check one)

## FEE CALCULATION (continued)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number	19-0036
Deposit Account Name	Sterne, Kessler, Goldstein & Fox P L L C.

Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

Applicant claims small entity status See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other\*  
\*charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No 19-0036

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	
101	710	201	355 Utility filing fee	710.00
106	320	206	160 Design filing fee	
107	490	207	245 Plant filing fee	
108	710	208	355 Reissue filing fee	
114	150	214	75 Provisional filing fee	
SUBTOTAL (1) (\$)			710.00	

## 2. EXTRA CLAIM FEES

Extra	Fee from below	Fee Paid		
Total Claims	22 - 20** = 2 X 18 =	36.00		
Indep. Claims	3- 3** = 0 X 80 =	0.00		
Multiple Dependent				
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description		
103	18	203	9 Claims in excess of 20	
102	80	202	40 Independent claims in excess of 3	
104	270	204	135 Multiple dependent claim	
108	80	209	40 **Reissue independent claims over original patent	
110	18	210	9 **Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2) (\$)			36.00	

\*\* or number previously paid, if greater. For Reissues, see above

## 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify):

Other fee (specify):

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Steven R. Ludwig	Registration No. (Attorney/Agent)	36,203	Telephone	202-371-2600
Signature			Date	March 27, 2001	

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